

Attorney Docket No. 444,000

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PATENT  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Michael SATOW et al.

Serial No.: 09/376,346

Group Art Unit: 2761

Filed: August 18, 1999

Examiner: UNASSIGNED

For: A REAL-TIME COMPUTERIZED  
STOCK TRADING SYSTEM

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)**

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), applicants bring to the attention of the Examiner the documents listed on the attached PTO 1449. This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits for the above-referenced application.

Copies of the listed documents are attached.

Each document listed in this Information Disclosure Statement was cited in a communication from the European Patent Office in a counterpart foreign application, and this Information Disclosure Statement is being filed within three months of the mailing date of that communication. A copy of the Search Report is enclosed.

LAW OFFICES

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This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claim in the application and applicants determine that the cited documents do not constitute "prior art" under United States law, applicants reserve the right to present to the office the relevant facts and law regarding the appropriate status of such documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

By:   
E. Robert Yoches  
Reg. No. 30,120

Date: January 11, 2000

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**INFORMATION DISCLOSURE CITATION**  
(Use several sheets if necessary)

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Atty. Docket No. 07444.0001-00000				Serial No. 09/376,346		
Applicant Michael SATOW et al.						
Filing Date August 18, 1999				Group 2761		
<b>U.S. PATENT DOCUMENTS</b>						
Examiner Initial*	Document Number	Date	Name	Class	Sub Class	Filing Date If Appropriate
	5,727,165	03/10/98	Ordish et al.	395	237	
<b>FOREIGN PATENT DOCUMENTS</b>						
	Document Number	Date	Country	Class	Sub Class	Translation Yes or No
	WO 95/26005		PCT			
	WO 96/34357		PCT			
	WO 97/30407		PCT			
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>						
	Ivy SCHMERKEN, "How Computer Assisted Trading Is Making the Toronto Stock Exchange Purr," Wall Street Computer Review, pages 71-77, 97(New York), XP000747627					
Examiner				Date Considered		
*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.						
Form PTO 1449				Patent and Trademark Office - U.S. Department of Commerce		